



**Innovation Partners, LLC**  
Committed to Increasing Profits

## **INNOVATION PARTNERS LLC**

Plantation Center Office Complex

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(704) 708-5461

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March 25, 2014

This Brochure provides information about the advisory personnel on whom you may rely for investment advice. Please contact IPLLC if you did not receive our Brochure (ADV Part 2A) or if you have any questions about the contents of this supplement. Additional information about IPLLC or advisory personnel is available on the SEC's website at [www.advisorinfo.sec.gov](http://www.advisorinfo.sec.gov).

### **Advisory Personnel**

**Brian J. Mock**  
**8263 W. Thunderbird Road, Suite 120**  
**Peoria, AZ 85381**

CRD#: 4223858

## Innovation Partners LLC: Form ADV, Part 2B Brian Mock

### Item 2- Educational Background and Business Experience

#### Lawrence Salberg

Date of Birth: July 25, 1977

#### Education

Glendale Community College, Associate's Degree in General Studies -2003  
University of Phoenix, Bachelor's Degree Business Marketing - 2005

Brian Mock is an Investment Advisor Representative and a Registered Representative in the state of Arizona. He passed the FINRA Series 6, 63, and 65 exams.

#### Business Background:

**Innovation Partners LLC:** 03/2014 – Present – Investment Advisor Representative and Registered Representative  
**SCF Advisors, Inc.:** 12/2011 – 10/2013 - Investment Advisor Representative  
**SCF Securities, Inc.:** 12/2011 – 10/2013 - Registered Representative  
**Jonathan Roberts Advisory Group:** 10/2009-012/2011 - Investment Advisor Representative  
**Jonathan Roberts Advisory Group:** 10/2009 – 12/2011: Registered Representative  
**World Group Securities:** 08/2003 – 10/2009 - Registered Representative  
**World Group Securities:** 04/2002 – 04/2003 - Registered Representative

### Item 3 – Disciplinary Information

Registered advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

### Item 4 – Other Business Activities

Brian Mock is an investment advisor representative and registered representative with Innovation Partners LLC. As an Independent insurance agent, Mr. Mock may recommend fixed insurance contracts to clients such as fixed annuities or life insurance. When clients purchase fixed insurance contracts at Mr. Mock's recommendation, he may be paid a commission. Mr. Mock conducts these investment-related activities under the assumed or trade name of M&A Wealth Management. M&A Wealth Management is not affiliated with Innovation Partners LLC.

Mr. Mock receives commissions, bonuses, distribution or service ("trail") fees, and other compensation based on the sale of securities (including mutual funds and insurance products) and other investment products.

A conflict of interest may exist between Mr. Mock and his clients related to the compensation he receives for advisory services offered as an Investment Advisor Representative and the compensation Mr. Mock receives for services offered as a Registered Representative of Innovation Partners LLC broker-dealer and an independent insurance agent. Mr. Mock may offer investment advice related to the purchase or sale of securities and /or insurance products. In some cases, when such investment advice is offered outside of a managed account arrangement, Mr. Mock may receive a fee for the investment advice and, if the client purchases or sells a security or purchases a fixed insurance contract, Mr. Mock may also be paid a commission.

Mr. Mock also provides income tax services and tax advice. Mr. Mock conducts these activities under the assumed or trade name of Mock & Associates, Inc. Mock & Associates, Inc. is not affiliated with Innovation Partners LLC.

### Item 5 – Additional Compensation

Registered Investment Advisors are required to disclose if the supervised person received an economic benefit from someone who is not a client for providing advisory services. No information is applicable to this Item.

## Innovation Partners LLC: Form ADV, Part 2B Brian Mock

### **Item 6 – Supervision**

The supervised person is monitored by the Chief Compliance Officer (CCO) through periodic sampling of archived emails, mandatory compliance meetings and ongoing review of marketing materials. The CCO is Patrick Sutherland.

### **Item 7 – Requirement for State Registered Advisors**

Registered Investment Advisors are required to disclose whether the supervised person has been involved in any events related or otherwise being found liable to arbitration claims alleging damages in excess of \$2,500.00, civil or self-regulatory organization or administrative proceedings involving: investment or investment related activity, fraud, false statement (s) or omissions, theft, embezzlement, wrongful taking of property, bribery, forgery, counterfeiting, extortion, dishonest, unfair and unethical practices. No information is applicable to this Item.

Registered Investment Advisors are required to disclose whether the supervised person has been the subject of a bankruptcy petition. No information is applicable to this item.